

Guidelines for Cooperation between Chugai and Patient Groups

I. Purpose of “Guidelines for Cooperation between Chugai and Patient Groups”

Chugai aims to contribute to the activities and development of patient groups by ensuring that cooperation^{Note 2)} between Chugai and patient groups^{Note 1)} is implemented in an ethical, moral and transparent manner, based on the principles expressed in JPMA’s “Guidelines for Transparent Relationships Between Corporate Activities and Patient Groups”.

Note 1) “Patient groups” are mainly made up of patients, their families and those supporting them; they give voice to patients, offer support to patients and their families, and aim to improve the environment for medical treatment. In principle, they are patient advocacy groups and patient support groups with roles and objectives defined by articles of association and bylaws.

Note 2) “Cooperation” signifies activities in which Chugai and patient groups combine their strengths by working together as equals to improve the well-being of patients. Cooperation comprises the following activities.

- (i) Activities to increase awareness about patients.
- (ii) Activities to support the education and development of patient group members.
- (iii) Presentations and consultations carried out by patient groups for Chugai, based on their experience and knowledge.

Cooperation is aimed at patient groups, not individuals.

II. Method and Timing of Disclosures

Chugai will publish information on funding provided to patient groups (including services such as benefits and labor) on the Chugai website.

1. Chugai will disclose information on funding provided to Japanese patient groups in accordance with “III. Scope of Disclosures” detailed below.
2. Relevant information will be disclosed after the end of the settlement of Chugai financial accounts for each fiscal year, including fiscal year 2013 (January to December 2013) and subsequent.
3. Disclosures will be based on the time of provision/payment (payment-based). However, for the initial disclosure year (fiscal year 2013), the provisions of funding, etc., paid during fiscal year 2013 or reflected in the settlement for fiscal year 2013, but whose voucher was issued during fiscal year 2012, will not be disclosed.

4. In principle, patient groups provided with funds, etc., will be disclosed under their name at the time of payment.

III. Scope of Disclosure

Chugai will disclose all funding, etc., provided to Japanese patient groups according to four categories: direct funding, indirect funding, compensation, etc., for consignment work, and other expenses.

1. These will be disclosed regardless of the value of the funding, etc., provided.
2. The provision of funding, etc., by Japanese affiliates of Chugai will also be disclosed.
3. Clear instances of funding, etc., provided to patient groups via third parties, such as subcontractors or foundations (including corporations, companies, NPOs, etc.), will also be disclosed.
4. Written consent for disclosure of information will be obtained in advance from Japanese patient groups to which funding, etc., is provided.

If consent for disclosure of information is not obtained from a Japanese patient group, the funding, etc., will not be provided to that patient group.

5. For funding, etc., provided via a joint business venture involving Chugai, only the portion provided by Chugai will be disclosed.

(1) Direct Funding

This category applies to funding, etc., that is provided to patient groups to support the activities of the groups. The funding will be provided by Chugai for advertising expenses, membership and associate membership fees or as donations to the patient groups or to events, etc., hosted by the patient groups (excluding events, etc., jointly hosted by Chugai).

Details will be disclosed, as outlined below, in three categories: donations, funds for membership and associate membership fees, and advertising expenses.

Category	Details	Form of disclosure (examples)
1) Donation	Provision of funds to support patient group activities	[Group]: [Item] [Amount in yen]
2) Membership and associate membership fees	Payments to patient groups for affiliation fees, membership fees and associate membership fees	[Group]: [Item] [Amount in yen]
3) Advertising	Payments for publishing	[Group]: [Item] [Amount

expenses	advertisements in patient group bulletins and magazines	in yen]
----------	---	---------

- (i) Funds, etc., provided directly to patient groups will be included in one of the three categories above and in the total for that category.
- (ii) In principle, direct funding will not be provided by Chugai alone.
- (iii) Funds will not be provided for the transportation, accommodation, social events and food and drink (including refreshments) of general participants and attendees.
- (iv) Cooperation will not include instances in which the event is held at a recreational facility or an excessively expensive venue.
- (v) Fees paid for attending presentations and training sessions held by patient groups will not be disclosed.

(2) Provision of Indirect Funding

This category applies to costs associated with events, etc., hosted by Chugai or co-hosted with patient groups to support patient groups, and costs for outsourcing work, etc., related to the support of patient groups to external companies.

Details will be disclosed, as outlined below, in two categories: costs associated with hosting or co-hosting events, etc., to support patient groups, and costs for outsourcing work related to the support of patient groups to external companies.

Category	Details	Form of disclosure (examples)
1) Costs for hosting or co-hosting presentations, briefings, training sessions, etc.	Presenter (lecturer) fees, accommodation and transportation, venue fees, allowances for refreshments, packed lunches, etc., for people with roles in the event	Total annual amount, List of supported patient groups
2) Costs for outsourced work	Payments to advertising agencies, planning companies, etc., when used	

- (i) Events held to support patient groups will be disclosed even if they are co-hosted with medical institutions, etc.
- (ii) Total annual amounts for the two categories above will be disclosed as indirect funding, along with a list of the patient groups.
- (iii) Funding will not be provided for the transportation and accommodation of

general participants and attendees.

- (iv) Refreshments associated with meetings may be provided, but social activities and other food and drink will not be provided.
- (v) Cooperation will not include instances in which the event is held at a recreational facility or an excessively expensive venue.

(3) Compensation, etc., for Consignment Work

This category applies to the payment of compensation, etc., for work consigned by Chugai to patient groups.

Details will be disclosed, as outlined below, in three categories: presenter fees, manuscript authoring/editorship fees, and fees for other consigned work.

Category	Details	Form of disclosure (examples)
1)Presenter fees	Compensation in relation to requested lectures, etc.	[Group]: [Item] [Amount in yen]
2) Manuscript authoring/editorship fees	Compensation in relation to requested manuscript authoring, etc.	[Group]: [Item] [Amount in yen]
3) Other consigned work	Compensation in relation to consigned work not covered under 1) or 2)	[Group]: [Item] [Amount in yen]

- (i) Payments will be made to patient groups and not directly to individuals.
- (ii) Payment of compensation, etc., in relation to consigned work in projects performed via a company such as an advertising agency or planning company will be made directly by Chugai; there will be no payments from the other company.
- (iii) Even when payment of compensation, etc., for consigned work is made by multiple parties, disclosure will be performed where the patient group has consented to disclosure and direct payment has been made. Direct payments made by others will not be disclosed.
- (iv) Necessary expenses, including accommodation, transportation and distribution costs, will not be disclosed because they will not be included in compensation for consigned work.

(4) Other Expenses

This category applies to the provision of benefits, labor and services not covered in (1) through (3) above to support patient groups.

Details will be disclosed, as outlined below, for provision of benefits, labor and other services.

Category	Details	Form of disclosure (example)
Benefits, labor and other services	Provision of labor, lending of company facilities and equipment, etc.	List of supported patient groups

- (i) Provision of labor and other services as work by Chugai will be disclosed, but labor and other services provided on a volunteer basis, not as work, will not be disclosed.
- (ii) When outsourcing is involved, disclosure will be made under category (2) “Indirect Funding”.

In the event of cooperation with Chugai, Chugai may request the prior submission of the patient group’s articles of association, planning documents, memoranda of intent, recruitment guidelines, project planning documents, budgets, etc., and may also request the submission of an implementation report (including financial statements) for the event, etc., or an annual operating activity report. Chugai requests a general understanding of and cooperation with these guidelines.